

DOCKET NO.: MS164170.02 / MSFTP225USA

6nd 2144

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **Eric J. Horvitz, et al.**
Serial No.: **10/021,621**
Filed: **December 12, 2001**
For: **CONTROLS AND DISPLAYS FOR ACQUIRING PREFERENCES, INSPECTING BEHAVIOR, AND GUIDING THE LEARNING AND DECISION POLICIES OF AN ADAPTIVE COMMUNICATIONS PRIORITIZATION AND ROUTING SYSTEM**
Art Unit: **2144**
Examiner: **Peling Andy Shaw**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: _____
Filing Date: _____

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

- (a) Within 3 months of the filing date or date of entry into the National Stage.
- (b) Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

(d) After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) The required certification is given below, or

(2) Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :

(i) Enclosed is a check covering the fee;

(ii) Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or

(iii) Enclosed is a credit card payment form covering the fee.

(e) After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:

(1) Enclosed is a check covering the fee;

(2) Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or

(3) Enclosed is a credit card payment form covering the fee.

4. Certification (if applicable)

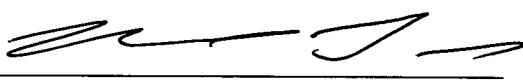
(a) The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

By

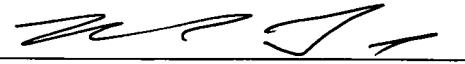

Himanshu S. Amin
Reg. No. 40,894

Amin & Turocy, LLP
24TH Floor, National City Center
1900 East 9th Street
Cleveland, Ohio 44114
(216) 696-8730

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

9-20-05
Date


Himanshu S. Amin



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO

**SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 3 Attorney Docket Number MS164170.02 / MSFTP225USA

Complete if Known

Application Number	10/021,621
Filing Date	December 12, 2001
First Named Inventor	Eric Horvitz
Art Unit	2144
Examiner Name	Peling Andy Shaw
Attorney Docket Number	MS164170.02 / MSFTP225USA

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)			
		WO 00/51040	08-31-2000	Van Elsas, et al.	
		WO 01/01264 A1	01-04-2001	Koka, et al.	
		WO 01/09753 A2	02-08-2001	Horvitz, et al.	
		WO 01/58119 A2	08-09-2001	Delaney, et al.	
		WO 01/69387 A2	09-20-2001	Horvitz, et al.	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**SUPPLEMENTAL
INFORMATION D
STATEMENT BY**

(Use as many sheets as necessary)

Sheet

2

3

Complete if Known

Application Number	10/021,621
Filing Date	December 12, 2001
First Named Inventor	Eric Horvitz
Art Unit	2144
Examiner Name	Peling Andy Shaw
Attorney Docket Number	MS164170.02 / MSFTP225USA

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		WO 01/69432 A2	09-20-2001	Horvitz, et al.		
		EP 0 375 138 A2	06-27-1990	Kasiraj, et al.		
		EP J 022 670 A2	07-26-2000	Nichols, et al.		
		GB 2 353 679 A	02-28-2001	James Luke		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

SEP 23 2005

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

3

of

3

Complete if Known

<i>Application Number</i>	10/021,621
<i>Filing Date</i>	December 12, 2001
<i>First Named Inventor</i>	Eric Horvitz
<i>Art Unit</i>	2144
<i>Examiner Name</i>	Peling Andy Shaw
<i>Attorney Docket Number</i>	MS164170.02 / MSETP225LUSA

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		European Search Report, EP 02 02 5530, mailed 06/30/05.	
		ROBERT M. LOSEE, "Minimizing Information Overload: The Ranking of Electronic Messages", Journal of Information Science, 1989, Vol. 15, pp. 179-189.	
		THORSTEN JOACHIMS, "Text Catcogorization With Support VectorMachines: Learning with Many Relevant Features", Proceedings of the European Conference on Machine Learning, April 21, 1998, pp. 137-142, Germany.	
		KALAKOTA, et al., "Mobile Agents and Mobile Workers", Proceedings of the Twenty-Nonth Hawaii International Conference on System Sciences, 1996, pp. 354-365.	
		LASHKARI, et al., "Collaborative Interface Agents", Proceedings AAAI, National Conference on Artificial Intelligence, July 31, 1994, vol. 1, pp. 444-449.	
		SENG WAI LOKE, et al., "Location-Based Personal Agents: A Metaphor for Situated Computing", Parallel Processing, 2000 Internation Workshops, August 21, 2000, pp. 17-19.	
		ROBYN KOZIEROK, et al., "A Learning Interface Agent for Scheduled Meetings", February 2003, pp. 81-93.	
		JUNG-JIN LEE, et al., "Learning and Predicting User Behavior For Particular Resource Use", Proceedings of the Florida Artificial Intelligence Research Symposium, May 21, 2001, pp. 177-181.	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). **2** Applicant is to place a check mark here if English language Translation is attached.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.